

From: Bou, Vutha [vbou@sterneagee.com]
Sent: Thursday, February 06, 2014 2:47 PM
To: Eady, Joe
Subject: FW: DK'd
Attachments: 3248_001.pdf

Vutha Bou
 Margin Manager
 Sterne Agee
 2 Perimeter Park South, Suite 100W
 Birmingham, AL 35243
 205.414.7290 (direct)
 205.868.6769 (fax)
www.sterneagee.com

From: Foster, Victoria [mailto:vfoster@sterneagee.com]
Sent: Thursday, October 13, 2011 1:48 PM
Subject: DK'd

This has been DK'D

FRED 14330. WHO *** AMERICA WEST RES INC NEW
 FUNC 22 02365V205

CODE	BRK#	QUANTITY	AMOUNT	SETTLE CYCLE	ID-CONFIRM	COND	3RD-PARTY	SEQ#
041	10	966667-	101211	000000000	CDO	YES	0011608	
DELV	ACCT	██████████8101		RECV	ACCT	NA		
REMARKS	1	101311	██████████538-1					

* * * * * TRANS CUST A/C REC DK * * * * *
 QUANTITY AMOUNT BRK# SETTLE ACCOUNT IPO
 S 10 101211 ██████████5752-1 15000 I ██████████5107
 END OF FILE

Thank you,

Victoria Foster
 Settlement
 Sterne Agee
 2 Perimeter Park South, Suite 100 W
 Birmingham, AL 35243
 205-414-7214
 205-414-3066 (fax)
www.sterneagee.com

From: Bou, Vutha
Sent: Wednesday, October 12, 2011 2:45 PM

To: Settlement
Subject: FW: Attached Image

Please process.


Vutha Bou
Margin Manager
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205.868.6769 (fax)
www.sterneagee.com

From: RiskManagement@sterneagee.com [<mailto:RiskManagement@sterneagee.com>]

Sent: Wednesday, October 12, 2011 1:43 PM

To: Bou, Vutha

Subject: Attached Image

STERNE AGEE	
750	
NDO/DO (DTC) ORDER OUT	
DELIVERY METHOD:	<input type="checkbox"/> DO <input checked="" type="checkbox"/> NDO
CONTRA PARTY BROKER #:	10
QUANTITY:	966,667
DOLLAR AMOUNT:	
CUSIP NUMBER:	02365V205
STERNE AGEE ACCOUNT #:	██████-5752
RECEIVER ACCOUNT #:	██████9661 / ██████5317
DATE:	10/12/2011
SECURITY DESCRIPTION:	AWSR
REFERENCE/COMMENTS:	John Babikian
	Six Sis/ Insechzz
	Frankfurt ER Bankgesellschaft AG/ FBGSCHZZ
SUBMITTED BY:	Sarah Stinson 
APPROVED BY:	